

<p style="text-align: center;">O I P E</p> <p style="text-align: center;">AUG 03 2001</p> <p style="text-align: center;">U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</p> <p style="text-align: center;">LIST OF PUBLICATIONS CITED BY APPLICANT (Use several sheets if necessary)</p>	<p>ATTY DOCKET NO. MXI-170</p> <p>APPLICANT Jan G. W. van de Winkel</p> <p>FILING DATE March 27, 2001</p>	<p>Sheet 1 of 5</p> <p>SERIAL NO. 09/820,099</p> <p style="text-align: right;">ATTACH TO</p> <p>GROUP 1614 #4</p>
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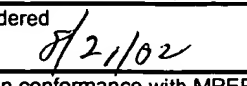
U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
LA	A1	4,753,894	06/88	Frankel et al.	436	548	
LA	A2	4,943,533	07/90	Mendelsohn et al.	435	240-27	
LA	A3	4,954,617	09/90	Fanger et al.	530	587	
LA	A4	5,084,396	01/92	Morgan, Jr. et al.	430	543	
LA	A5	5,288,477	02/94	Bacus	424	2	
LA	A6	5,558,864	09/96	Bendig et al.	424	133-1	
LA	A7	5,597,569	01/97	Siegall et al.	424	183-1	
LA	A8	5,635,600	06/97	Fanger et al.	530	387-3	
LA	A9	5,610,057	03/97	Shen et al.	430	334	

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
LA	A10	EP 0 255 249	02/88	EPO	—	—		
LA	A11	WO 91/00360	01/91	PCT				
LA	A12	WO 91/03493	03/91	PCT				
LA	A13	WO 91/05805	05/91	PCT				
LA	A14	WO 91/05871	05/91	PCT				
LA	A15	WO 92/05793	04/92	PCT				
LA	A16	WO 94/08038	04/94	PCT				
LA	A17	WO 94/10332	05/94	PCT				
LA	A18	WO 95/09917	04/95	PCT				
LA	A19	WO 95/16037	06/95	PCT				
LA	A20	WO 95/24220	09/95	PCT				
LA	A21	WO 98/02463	01/98	PCT	↓	↓		
LA	A22	WO 98/23646	06/98	PCT	—	—		

OTHERS (including Author, Title, Date, Pertinent Pages, Etc.)

LA	A23	Alkan, S. et al., "Enhanced Antiproliferative Action of Interferon Targeted by Bispecific Monoclonal Antibodies," <i>Journal of Interferon Research</i> , 8:25-33 (1988)
LA	A24	Bacus, S. et al., "Expression of the erbB-2 Family of Growth Factor Receptors and their Ligands in Breast Cancers," <i>Am J Clin Pathol</i> , 102(S1):S13-S24 (1994)
LA	A25	Bajorath, J. et al., "Comparison of an Antibody Model with an X-Ray Structure: The Variable Fragment of BR96," <i>Proteins: Structure, Function, and Genetics</i> , 24:152-157 (1996)
LA	A26	Chen, J. et al. "An Immunoconjugate of Lys ³ -Bombesin and Monoclonal Antibody 22 Can Specifically Induce FcγRI (CD64)-dependent Monocyte- and Neutrophil-mediated Lysis of Small Cell Carcinoma of the Lung Cells" <i>Clinical Cancer Research</i> 1(4):425-34 (1995)
Examiner		Date Considered
		
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APPLICANT FACSIMILE OF FORM PTO-1449 REV 7-80 AUG 03 2001 LIST OF PUBLICATIONS CITED BY APPLICANT (Use several sheets if necessary)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY DOCKET NO MXI-170	SERIAL NO. 09/820,099
			APPLICANT Jan G. W. van de Winkel	
			FILING DATE March 27, 2001	GROUP 1614

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L ₂	B1	De Potter, C. and Schelfhout, A., "The Neu-Protein and Breast Cancer," <i>Virchows Archiv</i> , 426:107-115 (1995)
L ₂	B2	Deo, Y.M. et al., "FcαR directed bispecific molecules (BSM) mediate lysis and phagocytosis of tumor cells," <i>Proc. Ann. Meeting Am. Ass. Can. Res.</i> , 38(1):30, #195 (1997)
L ₂	B3	Devilee, P. et al., "Recent Developments in the Molecular Genetic Understanding of Breast Cancer," <i>Critical Reviews in Oncogenesis</i> , 5(2 & 3):247-270 (1994)
L ₂	B4	Earp, H.S. et al., "Heterodimerization and Functional Interaction Between EGF Receptor Family Members: A New Signaling Paradigm with Implications for Breast Cancer Research," <i>Breast Cancer Research and Treatment</i> , 35:115-132 (1995)
L ₂	B5	Elsässer, D. et al., "Preclinical studies combining bispecific antibodies with cytokine-stimulated effector cells for immunotherapy of renal cell carcinoma," <i>Antican. Res.</i> , 19(2c):1525-1528 (1999)
L ₂	B6	Fanger, M.W. et al. "Bispecific Antibodies" <i>Critical Reviews in Immunology</i> 12(3,4):101-24 (1992)
L ₂	B7	Fanger, M.W. et al. "Production and Use Of Anti-FcR Bispecific Antibodies" <i>Immunomethods</i> 4(1):72-81 (1994)
L ₂	B8	Fridman, W.H. "Fc receptors and immunoglobulin binding factors" <i>The FASEB J.</i> 5:2684-90 (1991)
L ₂	B9	Fundamental Immunology, p. 242, William E. Paul, M.D. ed., 3 rd edition, (1993)
L ₂	B10	Gosselin, E. J., et al., "Enhanced antigen presentation using human Fc-gamma-receptor (monocyte/macrophage)-specific immunogens," <i>J. Immunol.</i> , 149(11):3477-81 (1992)
L ₂	B11	Graziano, R.F. et al. "Construction and Characterization of a Humanized Anti-γ-Ig Receptor Type I (FcγRI) Monoclonal Antibody" <i>J. Immunology</i> 155 (10):4996-5002 (1995)
L ₂	B12	Grossetête, B. et al., "Impaired Fcα Receptor Expression is Linked to Increased Immunoglobulin A Levels and Disease Progression in HIV-1-Infected Patients," <i>AIDS</i> , 9:229-234 (1995)
L ₂	B13	Guyre, P.M. et al., "Increased potency Fc-receptor-targeted antigens," <i>Cancer Immunol. Immunother.</i> , 45(3-4):146-8 (1997)
L ₂	B14	Harris et al., "Therapeutic Antibodies - The Coming of Age," <i>TIBTECH</i> , 11:42-44 (1993)
L ₂	B15	Heijnen, I.A.F.M., et al., "Antigen targeting to myeloid-specific human Fc-gamma-RI-CD64 triggers enhanced antibody responses in transgenic mice," <i>J. Clin. Invest.</i> 97(2):331-8 (1996)

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<i>[Signature]</i>	8/21/02

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APPLICANT FACSIMILE OF FORM PTO-149 REV 7-80 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE AUG 3 2001 PATENT & TRADEMARK OFFICE	ATTY DOCKET NO MXI-170	SERIAL NO. 09/820,099
LIST OF PUBLICATIONS CITED BY APPLICANT (Use several sheets if necessary)	APPLICANT Jan G. W. van de Winkel	
	FILING DATE March 27, 2001	GROUP 1614

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

OTHERS (including Author, Title, Date, Pertinent Pages, Etc.)

LM	C1	Jardines, L. et al., "neu(c-erbB-2/HER2) and the Epidermal Growth Factor Receptor (EGFR) in Breast Cancer," <i>Pathobiology</i> , 61:268-282 (1993)
LM	C2	Jelley-Gibbs, D.M., et al., "Differences in IgG subclass do not effect immune complex-enhanced T cell activation despite differential binding to antigen presenting cells," <i>Hum Immunol</i> 60(6):469-478 (1999)
LM	C3	Johnson, G. et al., "Seqhunt: A Program to Screen Aligned Nucleotide and Amino Acid Sequences," <i>Methods in Molecular Biology</i> , vol. 51, ch. 1, 1-15 (1995)
LM	C4	Jung, G. et al. "Target cell-induced T cell activation with bi- and trispecific antibody fragments" <i>Eur. J. Immunology</i> 21:2431-35 (1991)
LM	C5	Kawamoto, T. et al. "Polymorphonuclear leukocytes-mediated lysis of A431 cells induced by IgG1 mouse anti-epidermal growth factor receptor monoclonal antibodies" <i>In Vitro Cell. Dev. Biol.</i> 28A(11-12):782-86 (1992)
LM	C6	Keler, T. et al., "Bispecific Antibody (MDX-210) Targeting of Tumor Cells to Monocytes Via the Fc Receptor Type I (FcγRI) Promotes Antibody Dependent Cellular Cytotoxicity (ADCC) and Induction of Specific Cytokines," <i>Proc. Am. Assoc. Can. Res.</i> , 36:485, Abstr. 2892 (1995)
LM	C7	Kettleborough, C. A. et al. "Humanization of a mouse monoclonal antibody by CDR-grafting: the importance of framework residues on loop conformation" <i>Protein Eng.</i> 4(7):773-83 (1991)
LM	C8	Kubagawa, H. et al., "Cloning of Genes Encoding Possible Murine Fcα Receptors (FcαR)," <i>FASEB J.</i> , 8(4-5):A749, Abstr. 4341 (1994)
LM	C9	Liu, C., et al., "Fc-gamma-RII on human B cells can mediate enhanced antigen presentation," <i>Cellular Immunology</i> 167(2):188-194 (1996)
LM	C10	Liu, C., et al., "Fc-gamma-RI-targeted fusion proteins result in efficient presentation by human monocytes of antigenic and antagonist T cell epitopes," <i>J. Clin. Invest.</i> 98(9):2001-7 (1996)
LM	C11	Mabondzo, A. et al. "Antibody-dependent cellular cytotoxicity and neutralization of human immunodeficiency virus type 1 by high affinity cross-linking of gp41 to human macrophage Fc IgG receptor using bispecific antibody" <i>J. of General Virology</i> 75(6):1451-56 (1994)
LM	C12	Mezzanzanica, D. et al., "Human Ovarian Carcinoma Lysis by Cytotoxic T Cells Targeted by Bi-specific Monoclonal Antibodies: Analysis of the Antibody Components," <i>Int. J. Cancer</i> , 41:609-15 (1988)
LM	C13	Monteiro, R. et al., "Definition of Immunoglobulin A Receptors on Eosinophils and their Enhanced Expression in Allergic Individuals," <i>J. Clin. Invest.</i> , 92:1681-1685 (1993)

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W	D1	Monteiro, R. et al., "Molecular Heterogeneity of Fc α Receptors Detected by Receptor-Specific Monoclonal Antibodies," <i>The Journal of Immunology</i> , 148(6):1764-1770 (1992)
W	D2	Morton, H.C. et al. "Purification and Characterization of Chimeric Human IgA1 and IgA2 Expressed in COS and Chinese Hamster Ovary Cells" <i>The Journal of Immunology</i> 151(9):4743-4752 (1993)
W	D3	Morton, H.C. et al. "Structure and Function of Human IgA Fc Receptors" <i>Critical Reviews in Immunology</i> 16:423-440 (1996)
W	D4	Patry, C. et al., "Fc α Receptors Mediate Release of Tumour Necrosis Factor- α and Interleukin-6 by Human Monocytes Following Receptor Aggregation," <i>Immunology</i> , 86:1-5 (1995)
W	D5	Patry, C. et al., "Identification of Fc α Receptor (CD89) Isoforms Generated by Alternative Splicing that are Differentially Expressed Between Blood Monocytes and Alveolar Macrophages," <i>J Immunol</i> , 156:4442-4448 (1996)
W	D6	Pfefferkorn, L. and Yeaman, G.R., "Association of IgA-Fc Receptors (Fc α R) with Fc ϵ R1 γ 2 Subunits in U937 Cells," <i>The Journal of immunology</i> , 153:3228-3236 (1994)
W	D7	Posey, J., et al., "Pilot trial of MDX-H210 and GM-CSF for patients with advanced ERB-2 positive malignancies," <i>Proc. Ann. Meeting Am. Ass. Can. Res.</i> , p. 165, Abstr. 1136 (1996)
W	D8	Repp, R. et al. "G-CSF Stimulated Neutrophils As Effector Cells In Immunotherapy With A Bispecific Antibody to Fc γ RI and To HER-2/neu (MDX210): Preclinical Studies" <i>Immunobiology</i> , 191(2-3):250-51 (1994)
W	D9	Shen, L. et al., "My 43, A Monoclonal Antibody That Reacts with Human Myeloid Cells Inhibits Monocyte IgA Binding and Triggers Function," <i>Journal of Immunol.</i> , 143(12):4117-4122 (1989)
W	D10	Shen, L., "Receptors for IgA on Phagocytic Cells," <i>Immunol. Res.</i> , 11:273-282 (1992)
W	D11	Shen, L. "A monoclonal Antibody Specific for Immunoglobulin A Receptor Triggers Polymorphonuclear Superoxide Release" <i>Journal of Leucocyte Biology</i> 51(4):373-378 (1992)
W	D12	Shimada, T. et al., "Comparative Analysis of Fc α R on Neutrophils and Monocytes," <i>FASEB J.</i> , 9(4):A804, Abstr. 4658 (1995)
W	D13	Shimo, K. et al., "Ligand-Binding Properties of Recombinant Soluble Fc α Receptor," <i>FASEB J.</i> , 9(4):A774, Abstr. 4484 (1995)
W	D14	Threlkeld, S.C. et al., "Differential Down-Modulation of IgA Fc Receptors (Fc α R) on Neutrophils and Monocytes in HIV-Infected and Normal Individuals," <i>FASEB J.</i> , 8(4-5):A492, Abstr. 2851 (1994)
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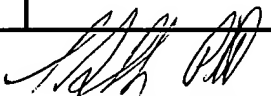
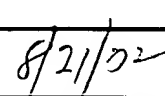
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<i>W</i>	E1	Valone, F.H. et al., "Phase Ia/Ib Trial of Bispecific Antibody MDX-210 in Patients with Advanced Breast or Ovarian Cancer that Overexpresses the Proto-Oncogene HER-2/neu," <i>J Clin Oncol</i> , 13(9):2281-2292 (1995)
<i>W</i>	E2	Valone, F.H. et al., "Schedule Dependent Immunological Stimulation by Bispecific Antibody (BsAb) MDX-210 (anti-FcγRI x anti-HER-2/neu) in Patients with Breast or Ovarian Cancers that Over Express HER-2/neu," <i>Proc. Am. Assoc. Can. Res.</i> , 36:500, Abstr. 2977 (1995)
<i>W</i>	E3	Webster, D.M. and Rees, A.R., "Molecular Modeling of Antibody-Combining Sites," <i>Methods in Molecular Biology</i> , 51:17-49 (1995)
<i>W</i>	E4	Weiner, L.M., et al., "Phase I trial of 2B1, a bispecific monoclonal antibody targeting C-ERBB-2 and FcγRIII," <i>Cancer Res.</i> , 55(20):4586-93 (1995)
<i>W</i>	E5	Weisbart, R.H. et al., "GM-CSF Induces Human Neutrophil IgA-Mediated Phagocytosis by an IgA Fc Receptor Activation Mechanism," <i>Nature</i> , 332:647-648 (1988);
<i>W</i>	E6	Yeaman, G. et al., "IgA-Fc Receptors (FcαR) on U937 Cells Associate with FcεRI Gamma Subunits," <i>FASEB J.</i> , 8(4-5):A981, Abstr. 5677 (1994)
<i>W</i>	E7	Briere, F. et al. "Induction of the receptor of the Fc portion of IgA by secretory IgA on human T cell lines and T cell clones" <i>Eur. J. Immunol.</i> 18(3):445-450 (Mar 1988), abstract
<i>W</i>	E8	Tokumoto, H. et al. "Monoclonal Antibody (G6) Inhibiting IgA Binding to Fixed FcαR(+) T2D4 Cells" <i>Monogr. Allergy</i> 24:208-214 (1988)
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APPLICANT

Jan G. J. van de Winkel

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10	F1	Deo, Y.M. et al., "Bispecific molecules directed to the Fc receptor for IgA (Fc alpha RI, CD89) and tumor antigens efficiently promote cell-mediated cytotoxicity of tumor targets in whole blood," <i>J. Immunol.</i> 1998 Feb 15;160(4):1677-86
24	F2	Van Egmond, M. et al., "FcalphaRI-positive liver Kupffer cells: reappraisal of the function of immunoglobulin A in immunity," <i>Nat. Med.</i> 2000 Jun;6(6):680-5
10	F3	Huls, G. et al., "Antitumor immune effector mechanisms recruited by phage display-derived fully human IgG1 and IgA1 monoclonal antibodies," <i>Cancer Res.</i> 1999 Nov 15;59(22):5778-84
10	F4	Pai, L.H. et al., "Anti-tumor activities of immunotoxins made of monoclonal antibody B3 and various forms of Pseudomonas exotoxin," <i>PNAS USA</i> 1991 Apr 15;88(8):3358-62
10	F5	Valerius, T. et al., "FcalphaRI (CD89) as a novel trigger molecule for bispecific antibody therapy," <i>Blood</i> 1997 Dec 1;90(11):4485-92

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